

Statement
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Chairman Shuster, Congresswoman Norton and Members of the Subcommittee, my name is Corey Gruber, and I serve as the Director of the Office of Policy Initiatives and Analysis of the Department of Homeland Security's (DHS) Office of State and Local Government Coordination and Preparedness (SLGCP). On behalf of all of us at DHS, it is my honor and pleasure to appear before you today to discuss in detail Homeland Security Presidential Directive 8 (HSPD-8): *National Preparedness*, the Interim National Preparedness Goal (Interim Goal), and the Interim National Preparedness Guidance (Interim Guidance).

As you know, Mr. Chairman, the Department has continued aggressive implementation of HSPD-8 to improve our national preparedness. HSPD-8 establishes policies, procedures, and goals that strengthen our Nation's preparedness to prevent, deter, respond to, and recover from terrorist attacks, major disasters and other emergencies. The significance and anticipated national impact of HSPD-8 provides the context in which to develop major program initiatives and provide specific guidance to Federal departments and agencies, States, local jurisdictions, and tribal governments.

On March 31, 2005, DHS released the Interim Goal after months of coordination and review with our partners in the Federal government, State, local, and tribal governments, and the private and non-governmental sectors. The publication of the Interim Goal fulfills a key requirement of HSPD-8 and represents the first major step in transforming the way the Nation plans, trains, exercises, allocates resources, and develops capabilities to prevent and respond to terrorist attacks, major disasters, and other emergencies.

Homeland Security Presidential Directive 8 (HSPD-8)

On December 17, 2003, President George W. Bush issued HSPD-8. As previously stated, HSPD-8 establishes policies to strengthen the preparedness of the United States to prevent and respond to threatened or actual domestic terrorist attacks, major disasters, and other emergencies by: requiring a domestic all-hazards preparedness goal that establishes measurable priorities and targets; establishing mechanisms to improve delivery of Federal preparedness assistance to State, local, and tribal governments; and outlining actions to strengthen the preparedness capabilities of Federal, State, local, and tribal governments. HSPD-8 defines preparedness as the existence of plans, procedures, policies, training, and equipment necessary at the Federal, State, and local level to maximize the ability to prevent, respond to, and recover from major events.

All levels of government must be adequately prepared for a wide spectrum of major events that will exceed the capabilities of any single entity or jurisdiction. Such hazards require a unified and coordinated national approach to planning and to domestic incident management. To address this need, Homeland Security Presidential Directive 5 (HSPD-5): *Management of Domestic Incidents* and HSPD-8 establish national initiatives that develop a common approach to preparedness and response. The initiatives are the National Incident Management System (NIMS), the National Response Plan (NRP), and the National Preparedness Goal (Goal). The Goal will enable entities across the Nation to pinpoint capabilities that need improvement, and sustain these capabilities at levels needed to manage major events using the protocols established by the NRP and NIMS. To ensure that these initiatives are successfully coordinated, SLGCP will continue to collaborate closely with the NIMS Integration Center in development and implementation of the Goal.

The Interim National Preparedness Goal (Interim Goal)

As required in HSPD-8, the Goal will include readiness targets, priorities, standards for preparedness assessments and strategies, and a system for assessing the Nation's overall level of preparedness. The Interim Goal reflects the Department's progress to date to develop each of those elements in coordination with other entities.

The Interim Goal will guide Federal, State, local, and tribal entities in determining how best to devote limited resources to most effectively and efficiently strengthen preparedness for terrorist attacks, major disasters, and other emergencies. The Interim Goal is based on our collective assessment of strategic risk, and is supported by analysis of threats, consequences and vulnerabilities. This risk-based approach to preparedness is highlighted in the Interim Goal's vision statement, which is: "To engage Federal, State, local, and tribal entities, their private and non-governmental partners, and the general public to achieve and sustain risk-based target levels of capability to prevent, protect against, respond to, and recover from major events in order to minimize the impact on lives, property, and the economy."

The Interim Goal is not a catalogue of equipment requirements to be met or training courses to be completed. Rather, the Interim Goal transforms the way we think about preparedness by defining *capabilities* that must be in place, at appropriate levels, to prevent and respond to current and future threats and hazards. The Interim Goal identifies measurable targets and priorities to guide the Nation's planning, and provides a systematic, capabilities-based approach

for determining how prepared we are, how prepared we need to be, and how we should prioritize efforts to close the gap.

Furthermore, the Interim Goal recognizes that preparedness is a shared national responsibility. Cooperation and partnership across Federal, State, local, and tribal governments, as well as the private sector, non-government organizations, and the public are essential. A collaborative approach to strengthening preparedness encourages State, local, and tribal governments to develop and maintain risk-based target levels of capabilities that align with national priorities, while enabling the Nation to accurately measure our progress and ensure accountability.

The Interim Goal will remain in effect until superseded by the “final” Goal. DHS will continue to lead an effort with input from Federal, State, local, tribal, private sector, and non-governmental entities to define target levels of capability and apportion responsibility for these levels and/or their components among levels of government and groups, or “Tiers,” of jurisdictions. The final Goal, updated to include the target levels of capabilities, will be issued on October 1, 2005.

The Capabilities-Based Planning Tools

DHS, in coordination and consultation with its Federal, State, local and tribal partners, has developed a set of detailed planning tools in order to develop readiness targets and achieve the Goal. These tools are the National Planning Scenarios, the Universal Task List (UTL), and the

Target Capabilities List (TCL). Together, these tools provide a consistent way for entities across the Nation to work together to achieve the Goal.

The suite of fifteen National Planning Scenarios, developed by a Federal interagency group, illustrates our strategic risk and is representative of the potential scope, magnitude, and complexity of major events and the related impacts that the Nation should prepare for. “Major events” are defined in HSPD-5 as high-impact events that require a coordinated and effective response by a combination of Federal, State, local, tribal, nongovernmental, and/or private sector entities in order to save lives and minimize damage, and provide the basis for long-term community and economic recovery. The Planning Scenarios were used to assist in the development of the UTL.

The UTL can be best viewed as a library or menu of homeland security tasks. After an extensive review by national stakeholders, the first version of the UTL was released on August 31, 2004. It identifies tasks that need to be performed at all levels of government to prevent, protect against, respond to, and recover from a range of major events, such as those defined in the National Planning Scenarios. The principle purpose of the UTL is to guide the design, development, conduct and evaluation of training and exercise events. We will use this library of tasks to design and evaluate training and exercises, ensure consistent objectives, and develop required task proficiency. Following UTL development, DHS, with stakeholder input, identified those tasks that were *critical*. A task was deemed critical if failure to perform it effectively during a major event would result in an increase in the loss of lives or serious injuries, or would

jeopardize the ability to accomplish mission-level outcomes associated with that task. Critical tasks provided the foundation for development of target capabilities.

As the heart of the Goal, the TCL provides guidance on the specific capabilities that Federal, State, local, and tribal entities will be expected to develop and maintain. Every entity will not be expected to develop and maintain every capability to the same level. The emphasis will be on developing prevention, response, protection and recovery capabilities through the pooling of regional resources. The specific capabilities and levels of capability will vary based upon the risk and needs of different types of entities. Over the coming months, DHS will continue to work with Federal, State, local, tribal, private sector, and non-governmental subject-matter experts to update the TCL, including identifying target levels of capability, for re-issuance with the final Goal on October 1, 2005.

National Preparedness Priorities

Ultimately, the Goal is an overarching statement of strategic intent. It demonstrates our national will to establish and sustain overall readiness against current and future threats. But the Goal does much more than propose a desired “end state” of preparedness. It provides unified strategic direction centered on specific priorities as the best way to build a national preparedness system that is strong, anticipatory, and focused on the areas of greatest need.

DHS established the national priorities in consultation with homeland security stakeholders, based on review of national strategies, Homeland Security Presidential Directives, and State and

Urban Area Homeland Security Strategies. The priorities fall into two categories: overarching priorities that contribute to the development of multiple capabilities, and capability-specific priorities that build selected capabilities for which the Nation has the greatest need. These national priorities will be updated or refined over time, based on progress towards achieving the Goal and changes in the strategic homeland security environment.

The overarching national priorities are:

- Implementing the NIMS and NRP,
- Expanding Regional Collaboration, and
- Implementing the Interim National Infrastructure Protection Plan.

The capability-specific priorities are:

- Strengthening Information Sharing and Collaboration capabilities,
- Strengthening Interoperable Communications capabilities,
- Strengthening CBRNE Detection, Response, and Decontamination capabilities, and finally,
- Strengthening Medical Surge and Mass Prophylaxis capabilities.

Building the right preparedness system for the Nation and achieving target levels of capabilities will take time, and the full benefits will not come overnight. But some benefits will be recognized immediately, such as: streamlined processes for determining needs and framing requests for assistance; a clearer voice for State and local stakeholders in shaping the system; and a more realistic picture of where we now stand in terms of national preparedness, and where we need to go.

How We Got Here

HSPD-8 requires the Secretary of Homeland Security to coordinate HSPD-8 implementation with “the heads of other appropriate Federal departments and agencies and in consultation with State and local governments.” DHS has consulted extensively with stakeholders from Federal, State, local, and tribal agencies throughout HSPD-8 implementation to ensure that development of the planning tools and Interim Goal is truly *national* – not solely a Federal – effort.

To begin this effort, DHS formed a Senior Steering Committee to review and oversee progress and products to obtain executive level input and “top down” guidance to keep initiatives on track and ensure the products integrate into a unified national preparedness system. Representatives from the Federal government, as well as State, local, and tribal entities continue to serve on the HSPD-8 Senior Steering Committee.

DHS also convened three Integrated Concept Teams (ICTs) drawn from organizations in DHS, other Federal departments and agencies, and State, local, and tribal governments with significant roles as providers or recipients of Federal preparedness assistance. The Integrated Concept Teams provided initial input on addressing HSPD-8 requirements for strategy development and resource coordination; a national system for training, exercises, and lessons learned; and assessing and reporting on the Nation’s overall preparedness.

In developing the Interim Goal, DHS coordinated and sought the input of experts and agencies throughout the country and across all levels of government. Over the course of Interim Goal development, over 1,500 organizations were invited to comment, including Federal, State, local,

and tribal agencies, the private and non-profit sectors, and national professional associations. This number includes 398 municipalities, 112 State agencies, and 94 national associations. The most recent national review of the Interim Goal was conducted in the last half of February 2005 during which DHS received approximately 475 comments.

DHS also recognized the need for input from and approval of the broader homeland security community on the UTL and TCL. DHS twice brought together over 350 representatives of Federal, State, local, and tribal agencies to provide input and feedback on the development of the UTL and the TCL. At both workshops, stakeholders were able to directly provide feedback and input to DHS team members. The frank and candid feedback of these national stakeholders was invaluable, and helped us to make course corrections and deliver effective planning tools that will transform the way we approach preparedness.

DHS requested and received input and feedback on the UTL and the TCL using innovative means to reach the broadest national audience. Two avenues proved exceptionally effective: the Office of Domestic Preparedness (ODP) Secure Web Portal and the DHS *Lessons Learned and Information Sharing* network. Stakeholders with appropriate credentials were able to access the Portal and/or the *Lessons Learned and Information Sharing* network to access and review current drafts of documents and planning tools. These two avenues proved to be a highly effective means to quickly secure national input.

The Interim National Preparedness Guidance (Interim Guidance)

As a companion to the Goal, DHS and its partners will soon issue the Interim National Preparedness Guidance (Interim Guidance) which will provide detailed information, instructions and examples to assist entities in implementing the Interim National Preparedness Goal and applying the Capabilities-Based Planning tools. The Interim Guidance is currently under final review prior to its official release. It will include step-by-step instructions for determining how prepared entities are, how prepared they should be, and how to frame requests and allocate resources in order to fill the gaps. The Interim Guidance also will provide detailed instructions and templates for updating State and Urban Area homeland security strategies and assessments in order to reflect the objectives of the Goal and the national priorities. Grantees will be required to certify these updates by the end of Fiscal Year 2005. These updates will help inform their Fiscal Year 2006 grant applications for federal preparedness assistance from DHS.

Roll-Out and Implementation Assistance

DHS will hold three regional roll-out conferences in the upcoming months to orient national stakeholders to the Interim Goal and Interim Guidance. These roll-out conferences are being coordinated with the NIMS Integration Center to coincide with NRP roll-out events. During the roll-out conferences, DHS officials will discuss the Interim Goal and Interim Guidance in detail, outline Fiscal Year 2005 requirements for grantees, and solicit candid feedback from stakeholders.

We recognize that these initiatives will entail many changes, and that implementation cannot happen overnight. In order to facilitate implementation, DHS will also deploy state-by-state training teams throughout the summer. These teams, which will be comprised of experienced State and local members, will meet with officials and stakeholders to explain planning methodologies and application of planning tools, answer questions, and solicit additional feedback. This outreach will augment traditional methods of assistance offered by DHS, such as Technical Assistance, Distance Learning, and Information Bulletins.

Conclusion

In summary, our approach to implementing the guidance of the President and Congress has centered on two key principles: first, that preparedness is a shared national responsibility, and second, that our strategic analysis must be risk-based, considering current and emerging threats, our potential vulnerabilities, and the consequences of major events that pose the greatest potential threat to our national interests in terms of the impact on lives, property, and the economy. We live in a world transformed by the attacks on September 11, 2001. The 9/11 Commission wrote *“a rededication to preparedness is perhaps the best way to honor the memories of those we lost that day.”* The publication of the Interim Goal brings us a significant step closer toward fulfilling this pledge. Our dedication to achieving the Goal is as critical to our Nation’s security and freedom as those many moments in our Nation’s history when Americans did more than they were asked and left our great country stronger and more secure. Mr. Chairman and Members, thank you for your continuing support in this transformational effort.